

### EXHIBIT 3-A REQUEST FOR AUTHORIZATION TO PROCEED WITH PRELIMINARY ENGINEERING

*(Local Agency Letterhead)*

To: (DLAE Name)  
District Local Assistance Engineer  
Caltrans, Office of Local Assistance  
(District Address)

Date: \_\_\_\_\_  
FTIP/FSTIP ID: \_\_\_\_\_  
Federal Project No: \_\_\_\_\_  
EA: \_\_\_\_\_  
PPNO (For STIP Projects): \_\_\_\_\_  
High-Risk ITS (Phase 1 or 2): \_\_\_\_\_  
Project Description: \_\_\_\_\_

Dear (DLAE Name):

In order to begin federally reimbursable preliminary engineering work for the above-referenced project, we request that you secure Federal Authorization to Proceed and Obligation of Funds. The federal funds requested will not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

#### Request for Authorization Package

- ☐ Completed Request for PE Authorization Data Sheet (Exhibit 3-E)
- ☐ Copy of FTIP/FSTIP Reference
- ☐ Completed Finance Letter (Exhibit 3-O)
- ☐ Completed Finance Letter (Exhibit 3-O)
- ☐ For High-Risk (formerly "Major") ITS Projects – Phase 2 Only: FHWA approved Systems Engineering Management Plan (SEMP) (Note that federal approval of the SEMP is contingent on prior federal approval of the Systems Engineering Review Form [SERF])
- ☐ Copy of Executed Cooperative Agreement (only for projects on State Highway System)
- ☐ Request for Capital Subvention Reimbursement Allocation (Exhibit 3-H) (only for projects on State Highway System)

#### Toll Credit Usage

- ☐ This project will use Toll Credit. It is fully funded.
- ☐ This project will NOT use Toll Credit.

#### Field Review Form (Exhibit 7-B)

- ☐ Completed Field Review Form (Exhibit 7-B), or
- ☐ **A Field Review Form will be submitted within four (4) months of the Federal Authorization date, otherwise, it is understood the authorization to proceed will be canceled automatically. It is further understood that a Program Supplement Agreement will NOT be prepared until after the Field Review Form is submitted.**

#### Environmental Document

- ☐ Type of NEPA Document. Approval Date: \_\_\_\_\_.
- ☐ Categorical Exclusion (CE) Form
- ☐ Findings of No Significant Impact (FONSI)
- ☐ Record of Decision (ROD)
- ☐ Re-evaluation

**Request for Authorization To Proceed with Preliminary Engineering**

- ☐ This agency has not completed the environmental process. The NEPA Document will be submitted at a later date, prior to beginning of final design (PS&E).

Disadvantaged Business Enterprise (DBE)

- ☐ The Annual Anticipated DBE Participation Level (AADPL) for FFY \_\_\_\_\_ was approved by Caltrans on \_\_\_\_\_.
- ☐ All work for this phase of the project will be performed by local agency staff.
- ☐ For consultant contracts an Underutilized Disadvantaged Business Enterprise (UDBE) goal will be established for each contract and the Local Agency Proposer UDBE Commitment (Consultant Contracts) (Exhibit 10-O1) will be submitted with the proposal. Within 15 days of contract execution, the Local Agency Proposer DBE Information (Consultant Contracts) (Exhibit 10-O2) shall be forwarded to the DLAE.

Pre-Award Audit

- ☐ Completed Audit Disposition (Exhibit 10-K), or
- ☐ Audit Disposition was not completed because neither federal-aid nor state funds will be used to fund a consultant contract, or
- ☐ Pre-award audit was not performed because the consultant contract is for \$250,000 or less and does not meet the criteria outlined in Exhibit 10-K requiring pre-award audit, or
- ☐ Audit Disposition is not being submitted at this time. It will be submitted to the DLAE prior to entering a contract with the consultant(s).

California Transportation Commission (CTC) Allocation

- ☐ A CTC allocation is not required, or
- ☐ A CTC allocation of \$ \_\_\_\_\_ (federal/state) funds for the PA/ED and/or PS&E component(s) of work was made at the \_\_\_\_\_ meeting of the CTC, or
- ☐ A CTC allocation of funds has been scheduled for the \_\_\_\_\_ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" and Agency submittal of the "Field Review" form (Exhibit 7-B), a "Program Supplement Agreement" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are typically available for disbursement for a period of seven (7) and five (5) years respectively, from the beginning of the fiscal year(s) that those funds are appropriated in the State Budget Act, unless an extension is granted by the Department of Finance. It is anticipated that this phase of work will be completed by \_\_\_\_\_ (month, year).

Invoice Submittal

This Agency understands that only relocation work performed after federal "Authorization to Proceed" (E-76) is eligible for reimbursement. Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and/or State approval Finance Letter. In addition, it is also understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses, then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

**CERTIFICATION**

I certify that the facts and statements in this Request for Authorization Package are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administration and California Department of Transportation relative to the above-designated project.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated / encumbered as well as for all costs it incurred prior to receiving the FHWA issued "Authorization to Proceed." I further understand that all subsequent phases of the project will require a separate "Federal Authorization to Proceed."

For High-Risk (formerly “Major”) and Low-Risk (formerly “Minor”) ITS projects, I understand that our project shall be consistent with the Regional ITS Architecture, adhere to ITS Standards, and undergo Systems Engineering analysis. A SERF will be included in the Field Review Package. For High-Risk ITS projects, I understand that this Agency shall not proceed with component detailed design until after FHWA approval of the SEMP and receipt of “Authorization to Proceed.”

Please advise us as soon as the “Federal Authorization to Proceed” has been issued. You may direct any questions to:

\_\_\_\_ (Name of Local Agency Contact) at \_\_\_\_ (phone number and e-mail address) .

Signature: \_\_\_\_\_

*Name:*

\_\_\_\_\_  
*Title:*

\_\_\_\_\_  
*Agency:*

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**EXHIBIT 3-B REQUEST FOR AUTHORIZATION  
TO PROCEED WITH RIGHT OF WAY***(Local Agency Letterhead)*

To: (DLAE Name)  
District Local Assistance Engineer  
Caltrans, Office of Local Assistance  
(District Address)

Date: \_\_\_\_\_  
FTIP/FSTIP ID: \_\_\_\_\_  
Federal Project No: \_\_\_\_\_  
EA: \_\_\_\_\_  
PPNO (For STIP Projects): \_\_\_\_\_  
Project Description: \_\_\_\_\_  
\_\_\_\_\_

Dear (DLAE Name):

In order to proceed with right of way phase of work for the above-referenced project, we request that you secure Federal Authorization to Proceed and obligation of funds. The federal funds requested will not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

**Request for Authorization Package**

- ☐ Completed Request for R/W Authorization Data Sheet (Exhibit 3-E)
- ☐ Copy of FTIP/FSTIP Reference Sheet
- ☐ Completed Finance Letter (Exhibit 3-O)
- ☐ Copy of Executed Cooperative Agreement, if not previously submitted (only for projects on State Highway System)
- ☐ Request for Capital Subvention Reimbursement Authority (Exhibit 3-H) (only for projects on State Highway System)

**Toll Credit Usage**

- ☐ This project will use Toll Credit. It is fully funded.
- ☐ This project will NOT use Toll Credit.

**Field Review Form (Exhibit 7-B)**

- ☐ Completed Field Review Form (Exhibit 7-B), or
- ☐ The Field Review Form was submitted previously on \_\_\_\_\_.

**Environmental Document**

- ☐ Type of NEPA Document. Approval Date: \_\_\_\_\_.
- ☐ Categorical Exclusion (CE) Form
- ☐ Findings of No Significant Impact (FONSI)
- ☐ Record of Decision (ROD))
- ☐ Re-evaluation

**Disadvantaged Business Enterprise (DBE)**

- ☐ The Annual Anticipated DBE Participation Level (AADPL) for FFY \_\_\_\_\_ was approved by Caltrans on \_\_\_\_\_.
- ☐ All work for this phase of the project will be performed by local agency staff.
- ☐ For consultant contracts an Underutilized Disadvantaged Business Enterprise (UDBE) goal will be established for each contract and the Local Agency Proposer UDBE Commitment (Consultant Contracts) (Exhibit 10-O1) will be submitted with the proposal. Within 15 days of contract execution, the Local Agency Proposer DBE Information (Consultant Contracts) (Exhibit 10-O2 ) shall be forwarded to the DLAE.

California Transportation Commission (CTC) Allocation

Check which of the following applies:

- ☐ A CTC allocation is not required, or
- ☐ A CTC allocation of funds for the right of way component of work was made at the \_\_\_\_\_ meeting of the CTC, or
- ☐ A CTC allocation of funds has been scheduled for the \_\_\_\_\_ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" (and agency submittal of the "Field Review" form [Exhibit 7-B] if not previously submitted), a "Program Supplement Agreement" and/or state approved "Finance Letter" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are typically available for disbursement for a period of seven (7) and five (5) years respectively, from the beginning of the fiscal year(s) that those funds are appropriated in the State Budget Act, unless, an extension is granted by the Department of Finance. It is anticipated that this phase of work will be completed by \_\_\_\_\_ (month, year).

Invoice Submittal

This Agency understands that only work performed after federal "Authorization to Proceed" (E-76) is eligible for reimbursement. Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and/or state approval Finance Letter. In addition, it is also understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses, then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

CERTIFICATION

I certify that the facts and statements in this Request for Authorization Package are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administration and California Department of Transportation relative to the above-designated project.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated/encumbered as well as for all costs it incurred prior to receiving the Federal Highway Administration issued "Authorization to Proceed."

Please advise us as soon as the Authorization to Proceed has been issued. You may direct any questions to:

\_\_\_\_ (Name of Local Agency Contact) at \_\_\_\_ (phone number and e-mail address) .

| Signature: \_\_\_\_\_

*Name*

\_\_\_\_\_  
*Title*

\_\_\_\_\_  
*Agency*

**Distribution:** DLAE

### EXHIBIT 3-C REQUEST FOR AUTHORIZATION TO PROCEED WITH UTILITY RELOCATION

#### (Local Agency Letterhead)

To: (DLAE Name)  
District Local Assistance Engineer  
Caltrans, Office of Local Assistance  
(District Address)

Date: \_\_\_\_\_  
FTIP/FSTIP ID: \_\_\_\_\_  
Federal Project No: \_\_\_\_\_  
EA: \_\_\_\_\_  
PPNO (For STIP Projects): \_\_\_\_\_  
Project Description: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Dear (DLAE Name):

In order to proceed with Utility Relocation phase of work for the above-referenced project, we request that you secure Federal Authorization to Proceed and obligation of funds. The federal funds requested will not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

#### Request for Authorization Package

- ☐ Completed Request for R/W Authorization Form (Exhibit 3-B)
- ☐ Request for Authorization Data Sheet (Exhibit 3-E)
- ☐ Copy of FTIP/FSTIP Reference Sheet
- ☐ Completed Finance Letter (Exhibit 3-O)
- ☐ Copy of Executed Cooperative Agreement, if not previously submitted (only for projects on State Highway System)
- ☐ Request for Capitol Subvention Reimbursement Authority (Exhibit 3-H) (only for projects on State Highway System)

#### Toll Credit Usage

- ☐ This project will use Toll Credit. It is fully funded.
- ☐ This project will NOT use Toll Credit.

#### Field Review Form (Exhibit 7-B)

- ☐ Completed Field Review Form (Exhibit 7-B), or
- ☐ The Field Review Form was submitted previously on \_\_\_\_\_.

#### Environmental Document

- ☐ Type of NEPA Document. Approval Date: \_\_\_\_\_.
- ☐ Categorical Exclusion (CE) Form
- ☐ Findings of No Significant Impact (FONSI)
- ☐ Record of Decision (ROD)
- ☐ Re-evaluation/Revalidation Form

#### Disadvantaged Business Enterprise (DBE)

- ☐ The Annual Anticipated DBE Participation Level (AADPL) for FFY \_\_\_\_\_ was approved by Caltrans on \_\_\_\_\_.
- ☐ All work for this phase of the project will be performed by local agency staff.

- ☐ For consultant contracts an Underutilized Disadvantaged Business Enterprise (UDBE) goal will be established for each contract and the Local Agency Proposer UDBE Commitment (Consultant Contracts) (Exhibit 10-O1) will be submitted with the proposal. Within 15 days of contract execution, the Local Agency Proposer DBE Information (Consultant Contracts) (Exhibit 10-O2) shall be forwarded to the DLAE.

Utility Relocation

- ☐ This Agency agrees to comply with 23 CFR 645.119 "Alternate Procedure" (as explained in Chapter 13, "Right of Way," and Chapter 14, "Utility Relocations," of the LAPM). This alternate procedure is provided to simplify the processing of utility relocations or adjustments under the provisions of 23 CFR 645. Under this procedure, the FHWA authorized the Department of Transportation (Caltrans) to act in relative position of the FHWA for review and approval of the arrangements, fees, estimates, plans, utility agreements, and other related matters required by such regulation as prerequisites for authorizing the utility owner to proceed with and complete the work.

It is understood that the scope of the Department's approval authority under the Alternate Procedure includes all actions necessary to advance and complete all types of utility work under the provisions of such regulation, except Section 645.119 (B)(1) and 645.119 (b)(2). Two of such documents that need the Department's approval are FHWA Specific Authorization and FHWA Approval of the Utility Agreement(s). See Chapter 14, "Utility Relocations," of the LAPM for more information on the activities necessary for federal participation in utility relocations. The approval authority has been delegated to the Right of Way District Utility Coordinators.

California Transportation Commission (CTC) Allocation

Check which of the following applies:

- ☐ A CTC allocation is not required, or  
☐ A CTC allocation of funds for the right of way component of work was made at the \_\_\_\_\_ meeting of the CTC, or  
☐ A CTC allocation of funds has been scheduled for the \_\_\_\_\_ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" (and agency submittal of the "Field Review" form [Exhibit 7-B]), if not previously submitted), a "Program Supplement Agreement" and/or state approved "Finance Letter" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are typically available for disbursement for a period of seven (7) and five (5) years respectively, from the beginning of the fiscal year(s) that those funds are appropriated in the State Budget Act, unless an extension is granted by the Department of Finance. It is anticipated that this phase of work will be completed by \_\_\_\_\_ (month, year).

Invoice Submittal

This Agency understands that only relocation work performed after federal "Authorization to Proceed" (E-76), approval of the Specific Authorization, and appropriate Utility Agreement is eligible for reimbursement. Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and/or state approval Finance Letter. In addition, it is also understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses, then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.



CERTIFICATION

I certify that the facts and statements in this Request for Authorization Package are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and policies and procedures promulgated by the Federal Highway Administration and California Department of Transportation relative to the above-designated project.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated/encumbered, as well as, for all costs it incurred prior to receiving the FHWA issued Authorization to Proceed

Please advise us as soon as the Authorization to Proceed has been issued. You may direct any questions to:

\_\_\_\_ (Name of Local Agency Contact) at \_\_\_\_ (phone number and e-mail address) \_\_\_\_ .

Signature: \_\_\_\_\_

*Name:*

\_\_\_\_\_

*Title*

\_\_\_\_\_

*Agency*

**Distribution:** DLAE

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**EXHIBIT 3-D REQUEST FOR AUTHORIZATION TO PROCEED WITH CONSTRUCTION****(Local Agency Letterhead)**

To: (DLAE Name)  
District Local Assistance Engineer  
Caltrans, Office of Local Assistance  
(District Address)

Date: \_\_\_\_\_  
FTIP/FSTIP ID: \_\_\_\_\_  
Federal Project No: \_\_\_\_\_  
EA: \_\_\_\_\_  
PPNO (For STIP Projects only): \_\_\_\_\_  
Project Description: \_\_\_\_\_

Dear (DLAE Name):

In order to advertise, award and administer the construction contract for the above-referenced project, we request that you secure Federal Authorization to Proceed and obligation of funds. The federal funds requested will not exceed those provided to this agency in the federally approved Federal Transportation Improvement Program (FTIP)/Federal Statewide Transportation Improvement Program (FSTIP).

Attached are the following documents required to authorize this phase of work:

**Request for Authorization Package**

- ☐ Completed Request for Construction Authorization Data Sheet (Exhibit 3-E)
- ☐ Copy of FTIP/FSTIP Reference Sheet
- ☐ Completed Finance Letter (Exhibit 3-O)
- ☐ Copy of Executed Cooperative Agreement (only for projects on State Highway System)
- ☐ Request for capital Subvention Reimbursement Authority (Exhibit 3-H) (only for projects on State Highway System)

**Toll Credit Usage**

- ☐ This project will use Toll Credit. It is fully funded.
- ☐ This project will NOT use Toll Credit.

**Field Review Form (Exhibit 7-B)**

- ☐ Completed Field Review Form (Exhibit 7-B), or
- ☐ The Field Review form previously was submitted on \_\_\_\_\_.

**Environmental Document**

- ☐ Type of NEPA Document. Approval Date: \_\_\_\_\_.
- ☐ Categorical Exclusion (CE) Forms
- ☐ Findings of No Significant Impact (FONSI)
- ☐ Record of Decision (ROD)
- ☐ Re-evaluation

**Disadvantaged Business Enterprise (DBE)**

- ☐ The Annual Anticipated DBE Participation Level (AADPL) for FFY \_\_\_\_\_ was approved by Caltrans on \_\_\_\_\_.
- ☐ All work for this phase of the project will be performed by local agency staff.
- ☐ For construction contracts an Underutilized Disadvantaged Business Enterprise (UDBE) goal will be established for each contract and the Local Agency Bidder UDBE Commitment (Construction Contracts) (Exhibit 15-G1) will be submitted with each bid by the bidders. Within 15 days of contract execution, the Local Agency Bidder DBE Information (Construction Contracts) (Exhibit 15-G2) shall be forwarded to the DLAE.

Right of Way Certification (Exhibits 13-A or 13-B)

- ☐ Right of Way Certification #\_\_\_ which was approved on \_\_\_\_\_.
- ☐ Right of Way Certification #\_\_\_ was approved on \_\_\_\_\_ and previously submitted.

PS&E Package and PS&E Certification

- ☐ Completed PS&E package, PS&E Certification (Exhibit 12-C), and PS&E Checklist (Exhibit 12-D), or
- ☐ The PS&E package, PS&E Certification, and PS&E Checklist were submitted and accepted on \_\_\_\_\_.

Local Agency Construction Contract Administration Checklist

- ☐ Local Agency Construction Contract Administration Checklist (Exhibit 15-A), or
- ☐ The Local Agency Construction Administration Checklist was submitted previously and our procedures have not changed.

California Transportation Commission (CTC) Allocation

Check which of the following applies:

- ☐ A CTC allocation is not required, or
- ☐ A CTC allocation of funds for the construction component of work was made at the \_\_\_\_\_ meeting of the CTC, or
- ☐ A CTC allocation of funds has been scheduled for the \_\_\_\_\_ meeting of the CTC. It is understood that the authorization/obligation of any federal STIP funds will not be made until after the CTC allocation.

Project Agreement and Liquidation of Funds

Upon FHWA issuance of the "Authorization to Proceed" (and agency submittal of the "Field Review" form [Exhibit 7-B], if not previously submitted), a "Program Supplement Agreement" and/or state approved "Finance Letter" will be prepared to encumber the federal and/or state funds for the project. This Agency understands that any federal and/or state funds encumbered for the project are typically available for disbursement for a period of seven (7) and five (5) years respectively, from the beginning of the fiscal year(s) that those funds are appropriated in the State Budget Act, unless an extension is granted by the Department of Finance. It is anticipated that this phase of work will be completed by \_\_\_\_\_ (month, year)

Invoice Submittal

This Agency understands that project construction contracts advertised prior to federal authorization are NOT eligible for reimbursement. It is also understood that construction-engineering cost must be specifically included and authorized in the federal Authorization to Proceed with Construction to be eligible for reimbursement. If construction engineering (CE) is authorized after construction begins, only those construction-engineering costs incurred after the date the CE is authorized are eligible for reimbursement.

Invoices for reimbursement will not be submitted until after the federal and state (if applicable) funds are encumbered via an executed "Program Supplement Agreement" and/or state approved Finance Letter. It is understood that an invoice must be submitted at least once every six (6) months for each project phase until all funds are expended. If there are no eligible expenses then a written explanation will be provided for that six (6) month period along with the target amount and date for the next invoice submittal.

CERTIFICATION

I certify that the facts and statements in this "Request for Authorization Package" are accurate and correct. This Agency agrees to comply with the applicable terms and conditions set forth in Title 23, U.S. Code, Highways, and the policies and procedures promulgated by the Federal Highway Administration and California Department of Transportation relative to the above-designated project.

I understand that upon submittal of this request and a completed "Field Review" form, the federal and/or state funds will be encumbered via a Program Supplement Agreement and /or state approved Finance Letter. This Agency will comply with the liquidation deadlines as explained in Government Code 16304.

I understand that this Agency is responsible for all costs in excess of the federal and/or state funds obligated/encumbered and all costs it incurred prior to receiving the FHWA issued "Authorization to Proceed" for this phase of the project

Please advise us as soon as the "Authorization to Proceed" has been issued. You may direct any questions to:

\_\_\_\_ (Name of Local Agency Contact) at \_\_\_\_ (phone number and e-mail address) \_\_\_\_.

Signature: \_\_\_\_\_  
NAME

\_\_\_\_\_  
Title

\_\_\_\_\_  
Agency

Distribution: DLAE

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**EXHIBIT 3-J REQUEST FOR TRANSFER OF FEDERAL FUNDS TO THE FEDERAL TRANSIT ADMINISTRATION  
(FTA)***(On Local Agency Overhead)*

To: (DLAE Name) \_\_\_\_\_ Date: \_\_\_\_\_  
 District Local Assistance Engineer FTIP/FSTIP ID(s): \_\_\_\_\_  
 CALTRANS, Office of Local Assistance Project Description(s): \_\_\_\_\_  
 (District Address) \_\_\_\_\_

Dear (DLAE Name):

We have received notification of pending grant application approval for this public transit project and request that you transfer these federal funds to the Federal Transit Administration for project administration. The amount(s) requested do not exceed the funds provided to this agency in the current approved Federal Statewide Transportation Improvement Program (FSTIP).

Request for FTA Transfer Documentation

Attached is information/documentation in support of this request to transfer federal funds to the FTA:

- ☐ Pending FTA Grant Number: \_\_\_\_\_
- ☐ Copy of Approved FSTIP pages
- ☐ Copy of Grant Application (Section 5307 projects only)
- ☐ Copy of Caltrans Notification Letter (Section 5311 & 5310 projects only)
- ☐ Please transfer the following federal funds to the FTA:

<u>Fund Type</u>	<u>Programmed FSTIP Funds</u>	<u>Fiscal Year Programmed</u>	<u>Federal Funds To be transferred</u>
_____	_____	_____	_____
_____	_____	_____	_____
		<b>Total</b>	_____

I understand that the invoices for payment of federal funds will be processed by FTA (Section 5307), or Caltrans (Sections 5311 and 5310 – refer to *Division of Mass Transportation*, Section 5311 “Handbook and Guide,” for invoicing procedures and format)

Prior to payment of State Transportation Improvement Program (STIP) match funds: 1) California Transportation Commission (CTC) must allocate the funds, 2) Master Administering Agency– State Agreement for State Funded Projects and project specific Program Supplement Agreement (PSA) must be executed, 3) Applicant Agency must prepare and sign a project specific Finance Letter, and 4) Applicant Agency must submit evidence that payment of federal funds has been invoiced/received. Invoice procedures and format must adhere to Chapter 5, “Accounting/Invoices,” of *Local Assistance Procedures Manual* (LAPM) (available at <http://www.dot.ca.gov/hq/LocalPrograms/>). **\* Please note that STIP match funds may ONLY be used for purposes eligible under Article XIX of the California State Constitution.**

Check which of following applies:

- ☐ This project does not qualify for STIP match funds.
- ☐ This project is programmed to receive STIP match funds. I have attached the completed:
- 1) Request for STIP Fund Allocation
  - 2) Funding Allocation Checklist, and
  - 3) Finance Letter
- ☐ A request for allocation of STIP match funds will be made at a future date as permitted by Government Code Section 14529.17

Toll Credit Usage

- [ ] This project will use Toll Credit. It is fully funded.
- [ ] This project will NOT use Toll Credit.

CERTIFICATION

I certify that the facts and statements in this “Request for Transfer of Federal to the Federal Transit Administration” are accurate and correct. Following the transfer of funds to the FTA, this agency agrees to comply with the applicable terms and conditions set forth in Title 49, USC, Chapter 53 “Mass Transportation” and the policies and procedures promulgated the FTA relative to the above-designated project.

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Signature of Local Agency Representative

---

Title

---

Date

**Distribution:** Local Agency